



#4  
4-11-01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/510,629

Filing Date: February 22, 2000

Applicant: W. Hartmann

Group Art Unit:

Examiner:

Title: A Process For High Fidelity Sound Recording  
Reproduction Of Musical Sound

Attorney Docket: 6550-000043

OFFICE OF FINANCE  
REFUND BRANCH  
2001 MAR 21 PM 2:54  
US PATENT & TRADEMARK  
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Hon. Commissioner of Patents and Trademarks  
Washington, D.C. 20231

REQUEST FOR REFUND

With regard to the above-identified application, Applicant's representative sent a "Supplemental Information Disclosure Statement" (copy enclosed) to the Patent Office on January 8, 2001. We have not yet received an Office Action for this case. However, the Patent Office charged our Deposit Account No. 08-0750 in the amount of \$180.00 for this Statement on January 18, 2001 (copy of page 2 of Deposit Account Statement enclosed). We are requesting a refund for this amount to be credited to Deposit Account No. 08-0750. If you have any questions regarding this refund, the undersigned can be contacted at (248) 641-1600.

Respectfully submitted,

Date: March 12, 2001  
HARNESS, DICKEY & PIERCE, P.L.C  
P.O. Box 828  
Bloomfield Hills, MI 48303  
(248) 641-1600

By: [Signature]  
Monte L. Falcoff  
Reg. No. 37,617



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                 |                                |   |                                 |
|-----------------|--------------------------------|---|---------------------------------|
| Group Art Unit: | Unknown                        | ) |                                 |
| Examiner:       | Unknown                        | ) |                                 |
| Inventor        | William M. Hartmann            | ) | <b>SUPPLEMENTAL INFORMATION</b> |
|                 |                                | ) | <b>DISCLOSURE STATEMENT</b>     |
| Serial No.      | 09/510,629                     | ) |                                 |
| Filed:          | February 22, 2000              | ) |                                 |
| For:            | A PROCESS FOR HIGH FIDELITY    | ) |                                 |
|                 | SOUND RECORDING AND            | ) |                                 |
|                 | REPRODUCTION OF MUSICAL SOUND) | ) |                                 |

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CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D. C. 20231 on January 8, 2001.

By: [Signature], Attorney for Applicant

Hon. Commissioner of Patents  
and Trademarks  
Washington, D. C. 20231

Sir:

The Examiner is advised that the references listed on the attached PTO Form 1449 have come to the attention of the Applicant's attorney. Copies of these references are enclosed herewith for the convenience of the Examiner.

It is respectfully submitted that the claims presently pending in this application clearly distinguish over each of the references cited both individually as well as in combination and favorable consideration and allowance thereof is courteously requested.

In the event a first Office Action on the merits has been mailed in the above-identified application prior to the Certificate of Mailing date set forth above, the Commissioner is authorized to charge the fee due under 37 C.F.R. 1.17(p) to Applicant's Deposit Account No. 08-0750. A duplicate copy of this Supplemental Information Disclosure Statement is enclosed for this purpose.

Respectfully submitted,

By: 

Monte L. Falcoff  
Reg. No. 37,617  
Attorney for Applicants

HARNESS, DICKEY & PIERCE, P.L.C.  
P.O. Box 828  
Bloomfield Hills, MI 48303  
(248) 641-1600

Dated: January 8, 2001  
MLF/nj  
Docket No.: 6550-000043

|           |                |              |     |              |             |
|-----------|----------------|--------------|-----|--------------|-------------|
| 01/08 55  | 09387543       | 6550-000018  | 202 | \$40.00      | \$5,717.00  |
| 01/08 123 | PCT/US99/23337 |              | 704 | -\$420.00    | \$6,137.00  |
| 01/08 213 | 60091587       | CONC 32.2    | 566 | \$45.00      | \$6,092.00  |
| 01/08 214 | 09313886       | 7998-000011  | 566 | \$45.00      | \$6,047.00  |
| 01/09 106 | 75587390       | 163047496    | 364 | \$150.00     | \$5,897.00  |
| 01/09 148 | 08984849       | 10035-1142   | 142 | \$1,240.00   | \$4,657.00  |
| 01/09 179 | 09264192       | 3172-001-COA | 242 | \$620.00     | \$4,037.00  |
| 01/09 180 | 09264192       | 3172-001-COA | 561 | \$30.00      | \$4,007.00  |
| 01/10 9   | 09214800       | 9319S-000086 | 115 | \$110.00     | \$3,897.00  |
| 01/10 36  | 78041400       |              | 361 | \$325.00     | \$3,572.00  |
| 01/10 54  | 09588337       | 9817-000150  | 570 | \$200.00     | \$3,372.00  |
| 01/10 68  | 60150307       | 5005000015   | 567 | -\$30.00     | \$3,402.00  |
| 01/10 76  | 60142495       | 9432-000073  | 567 | -\$30.00     | \$3,432.00  |
| 01/10 109 | 60150307       | 3112         | 566 | \$15.00      | \$3,417.00  |
| 01/10 116 | 60142495       | F.D.3114     | 566 | \$15.00      | \$3,402.00  |
| 01/10 243 | 09494696       | 9539-000030  | 566 | \$60.00      | \$3,342.00  |
| 01/11 49  | 08763357       | 4041J-000038 | 581 | \$40.00      | \$3,302.00  |
| 01/11 104 | 60260295       | 6267         | 214 | \$75.00      | \$3,227.00  |
| 01/11 327 | 09189646       | 3176-7491    | 242 | \$620.00     | \$2,607.00  |
| 01/11 328 | 09189646       | 3176-7491    | 561 | \$30.00      | \$2,577.00  |
| 01/12 72  | 78042440       |              | 361 | \$325.00     | \$2,252.00  |
| 01/12 73  | 78042447       |              | 361 | \$325.00     | \$1,927.00  |
| 01/16 1   | 09275133       | 726800063CPC | 148 | \$110.00     | \$1,817.00  |
| 01/16 124 | 09758242       | 9432-000128  | 101 | \$710.00     | \$1,107.00  |
| 01/16 140 | 354261         |              | 467 | \$30.00      | \$1,077.00  |
| 01/17 1   | 09387543       | 6550-000018  | 202 | -\$40.00     | \$1,117.00  |
| 01/17 1   | 09242788       |              | 179 | \$710.00     | \$407.00    |
| 01/17 2   | 09387543       | 6550-000018  | 102 | \$80.00      | \$327.00    |
| 01/17 2   | 09242788       |              | 115 | \$110.00     | \$217.00    |
| 01/17 47  | 76033640       |              | 362 | -\$100.00    | \$317.00    |
| 01/17 148 | 354650         |              | 465 | \$30.00      | \$287.00    |
| 01/18 19  | 09510629       | 6550-000043  | 126 | \$180.00     | \$107.00    |
| 01/18 36  | PAYMENT        |              | 701 | -\$10,000.00 | \$10,107.00 |
| 01/18 39  | 5414478        |              | 188 | \$1,640.00   | \$8,467.00  |
| 01/18 40  | 5414473        |              | 283 | \$425.00     | \$8,042.00  |
| 01/18 41  | 60185796       | 4226000028CP | 567 | -\$60.00     | \$8,102.00  |
| 01/18 49  | 60185796       | F.D.3105     | 566 | \$30.00      | \$8,072.00  |
| 01/18 74  | 09753989       | 0275M-000273 | 581 | \$40.00      | \$8,032.00  |
| 01/19 29  | PAYMENT        |              | 701 | -\$13,580.00 | \$21,612.00 |
| 01/19 65  | 09401450       | 9432-000073  | 115 | \$110.00     | \$21,502.00 |
| 01/22 14  | 60262250       | 2175-00005   | 114 | \$150.00     | \$21,352.00 |
| 01/22 170 | 1632732        |              | 365 | \$400.00     | \$20,952.00 |
| 01/22 171 | 1632732        |              | 372 | \$100.00     | \$20,852.00 |
| 01/23 184 | 357091         |              | 566 | \$15.00      | \$20,837.00 |
| 01/23 186 | 357092         |              | 566 | \$15.00      | \$20,822.00 |
| 01/23 187 | 357092         |              | 566 | \$15.00      | \$20,807.00 |
| 01/23 198 | PCT/US01/01752 | 9617W-000040 | 150 | \$240.00     | \$20,567.00 |
| 01/23 199 | PCT/US01/01752 | 9617W-000040 | 153 | \$450.00     | \$20,117.00 |



DEP/REF RM307

HDF/3B/21 based on PTO/SB/21 (08-00)

Please type a plus sign (+) inside this box → ☐**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

|   |                             |                               |             |
|---|-----------------------------|-------------------------------|-------------|
| <b>TRANSMITTAL<br/>FORM</b><br>(to be used for all correspondence after initial filing) | <b>Application Number</b>   | 09/510,629                    |             |
|   | <b>Filing Date</b>          | February 22, 2000             |             |
|   | <b>First Named Inventor</b> | W. Hartmann                   |             |
|   | <b>Group Art Unit</b>       |                               |             |
|   | <b>Examiner Name</b>        |                               |             |
| <b>Total Number of Pages in This Submission</b>   |                             | <b>Attorney Docket Number</b> | 6550-000043 |

**ENCLOSURES (check all that apply)**

|   |  |   |
|---|--|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input checked="" type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br><b>copy of Supplemental Information Disclosure Statement and page 2 of deposit account statement</b> |
| <b>Remarks</b>  |  | <b>The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 08-0750. A duplicate copy of this sheet is enclosed.</b>   |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

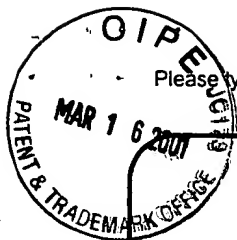
|                                |                                  |                      |                  |                 |         |
|--------------------------------|----------------------------------|----------------------|------------------|-----------------|---------|
| <b>Firm or Individual name</b> | Harness, Dickey & Pierce, P.L.C. | <b>Attorney Name</b> | Monte L. Falcoff | <b>Reg. No.</b> | 37, 617 |
| <b>Signature</b>               |                                  |                      |                  |                 |         |
| <b>Date</b>                    | March 12, 2001                   |                      |                  |                 |         |

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, or facsimile transmitted to the U.S. Patent and Trademark Office on the date indicated below.

|                              |                  |             |                |
|------------------------------|------------------|-------------|----------------|
| <b>Typed or printed name</b> | Monte L. Falcoff |             |                |
| <b>Signature</b>             |                  | <b>Date</b> | March 12, 2001 |

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HD-2B/21 based on PTO/SB/21 (08-00)

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|   |                             |                               |             |
|---|-----------------------------|-------------------------------|-------------|
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|   | <b>First Named Inventor</b> | W. Hartmann                   |             |
|   | <b>Group Art Unit</b>       |                               |             |
| <b>Examiner Name</b>                            |                             |                               |             |
| <b>Total Number of Pages in This Submission</b> |                             | <b>Attorney Docket Number</b> | 6550-000043 |

### ENCLOSURES (check all that apply)

|  |   |   |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application<br><input type="checkbox"/> Response to Missing<br>Parts under 37 CFR<br>1.52 or 1.53 | <input type="checkbox"/> Assignment Papers<br>(for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a<br>Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input checked="" type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to<br>Group<br><input type="checkbox"/> Appeal Communication to Board of<br>Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group<br>(Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s)<br>(please identify below):<br><br>copy of Supplemental<br>Information Disclosure<br>Statement and page 2 of deposit<br>account statement |
| <b>Remarks</b>   |   | The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 08-0750. A duplicate copy of this sheet is enclosed.  |
|  |   |   |

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                                |                                  |                      |                  |                 |         |
|--------------------------------|----------------------------------|----------------------|------------------|-----------------|---------|
| <b>Firm or Individual name</b> | Harness, Dickey & Pierce, P.L.C. | <b>Attorney Name</b> | Monte L. Falcoff | <b>Reg. No.</b> | 37, 617 |
| <b>Signature</b>               |                                  |                      |                  |                 |         |
| <b>Date</b>                    | March 12, 2001                   |                      |                  |                 |         |

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| <b>Typed or printed name</b>  | Monte L. Falcoff |             |                |
| <b>Signature</b>  |                  | <b>Date</b> | March 12, 2001 |